



FEDERAL ELECTION COMMISSION

WASHINGTON, D.C. 20463

RQ-3

January 11, 2001

Lee W. Mercer, Treasurer  
National Association of Small Business  
Investment Companies Political  
Action Committee  
666 11<sup>th</sup> Street, NW, Suite 750  
Washington, DC 20001

Identification Number: C00109991

Reference: April Quarterly (1/1/00-3/31/00), July Quarterly (4/1/00-6/30/00) and  
October Quarterly (7/1/00-9/30/00) Reports

Dear Mr. Mercer:

This letter is to inform you that as of January 10, 2001, the Commission has not received your response to our requests for additional information dated December 20, 2000. These notices request information essential to full public disclosure of your federal election campaign finances. To ensure compliance with the provisions of the Federal Election Campaign Act (the Act), please respond to these requests (copies enclosed).

An adequate response must be received at the Commission by January 31, 2001. Adequate responses received on or before this date will be taken into consideration in determining whether audit action will be initiated. **Requests for extensions of time in which to respond will not be considered.** Failure to provide an adequate response by this date may result in an audit of the committee. Failure to comply with the provisions of the Act may also result in an enforcement action against the committee. Any response submitted by your committee will be placed on the public record and will be considered by the Commission prior to taking enforcement action.

If you should have any questions regarding this matter, please contact Edward Ryan on our toll-free number (800) 424-9530 (at the prompt press 1, then press 2 to reach the Reports Analysis Division) or our local number (202) 694-1130.

Sincerely,

John D. Gibson  
Assistant Staff Director  
Reports Analysis Division

Enclosures



FEDERAL ELECTION COMMISSION  
WASHINGTON, D.C. 20463

RQ-2

Lee W. Mercer, Treasurer  
National Association of Small Business  
Investment Companies Political  
Action Committee  
666 11<sup>th</sup> Street, NW, Suite 750  
Washington, DC 20001

DEC 20 2000

Identification Number: C00109991

Reference: October Quarterly Report (7/1/00-9/30/00)

Dear Mr. Mercer:

This letter is prompted by the Commission's preliminary review of the report(s) referenced above. The review raised questions concerning certain information contained in the report(s). An itemization follows:

-Schedule B supporting Line 23 of your report discloses a contribution(s) to a candidate(s) for the primary election; however, the funds were disbursed after the election date(s) (pertinent portion(s) attached). Please note that contributions may not be designated for an election which has already occurred unless the funds are to be used to reduce a candidate committee's debts incurred during that election campaign.

If the contribution(s) in question was incompletely or incorrectly disclosed, you should amend your original report with clarifying information. If you have made a contribution for an election which has already occurred, you should notify the recipient and request a refund and/or notify the recipient in writing of your redesignation of the contribution. In the best interest of your committee, all refunds and redesignations should be made within sixty days of the treasurer's receipt of the contribution(s).

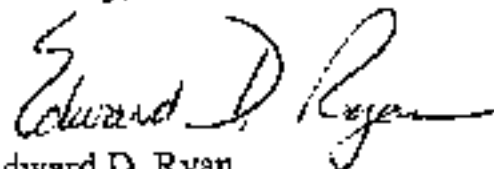
Please inform the Commission of your corrective action immediately in writing and provide a photocopy of the refund or redesignation request sent to the recipient committee(s). In addition, any refunds should be disclosed on Schedule A supporting Line 16 of the report covering the period during

which they are received. Any redesignations should be disclosed as memo entries on Schedule B supporting Line 23 of the report covering the period during which the redesignation is made. 11 CFR §110.1(b)

Although the Commission may take further legal action regarding the contribution(s) made after an election which has already occurred, your prompt action in obtaining a refund and/or redesignating the contribution(s) will be taken into consideration.

A written response or an amendment to your original report(s) correcting the above problem(s) should be filed with the Federal Election Commission within fifteen (15) days of the date of this letter. If you need assistance, please feel free to contact me on our toll-free number, (800) 424-9530 (at the prompt press 1, then press 2 to reach the Reports Analysis Division). My local number is (202) 694-1130.

Sincerely,

A handwritten signature in dark ink, appearing to read "Edward D. Ryan". The signature is fluid and cursive, with a large initial "E" and a long, sweeping underline.

Edward D. Ryan  
Reports Analyst  
Reports Analysis Division

## SCHEDULE B

## ITEMIZED DISBURSEMENTS

Use separate schedule(s)  
for each category of the  
Detailed Summary PagePAGE 1 OF 3  
FOR LINE NUMBER 31

Any information copied from such Reports and Statements may not be sold or used by any person for the purpose of soliciting contributions or for commercial purposes, other than using the name and address of any political committee to solicit contributions from such committee.

## NAME OF COMMITTEE (in Full)

National Association of Small Business Investment Companies Political Action Committee

A. Full Name, Mailing Address and ZIP Code	Purpose of Disbursement	Date (month, day, year)	Amount of Each Disbursement This Period
Committee to Re-Elect Nydia Velazquez 436 New Jersey Ave. SE Washington, DC 20003	H-NY-12 Disbursement for: <input type="checkbox"/> Primary <input checked="" type="checkbox"/> General <input type="checkbox"/> Other (specify)	7/10/00	\$1,000.00
B. Full Name, Mailing Address and ZIP Code Friends of John LaFalce 38 Ivy Street, SE Washington, DC 20003	H-NY-29 Disbursement for: <input checked="" type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify)	7/10/00	\$1,000.00
C. Full Name, Mailing Address and ZIP Code Committee to Elect Marge Roukema P.O. Box 625 Ridgewood, NJ 07451	H-NJ-5 Disbursement for: <input checked="" type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify)	7/19/00 <i>DATE - 6/10/00</i>	\$1,000.00 <i>SDC</i>
D. Full Name, Mailing Address and ZIP Code John Thune for Congress P.O. Box 516 Sioux Falls, SD 57101	H-SD-AL Disbursement for: <input type="checkbox"/> Primary <input checked="" type="checkbox"/> General <input type="checkbox"/> Other (specify)	8/18/00	\$1,000.00
E. Full Name, Mailing Address and ZIP Code Latham for Congress 4010 Franconia Road Alexandria, VA 22310	H-VA-5 Disbursement for: <input type="checkbox"/> Primary <input checked="" type="checkbox"/> General <input type="checkbox"/> Other (specify)	9/20/00	\$2,000.00
F. Full Name, Mailing Address and ZIP Code Friends of Conrad Burns 425 Second Street SE Washington, DC 20003	S-MY Disbursement for: <input type="checkbox"/> Primary <input checked="" type="checkbox"/> General <input type="checkbox"/> Other (specify)	8/16/00	\$1,500.00
G. Full Name, Mailing Address and ZIP Code Snowe for Senate 425 Second Street Washington, DC 20002	S-ME Disbursement for: <input type="checkbox"/> Primary <input checked="" type="checkbox"/> General <input type="checkbox"/> Other (specify)	9/19/00	\$1,000.00
H. Full Name, Mailing Address and ZIP Code Bill Pascrell for Congress 30 Ivy Street, SE	H-NJ-8 Disbursement for: <input checked="" type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify)	9/19/00 <i>DATE - 6/26/00</i>	\$500.00 <i>SDC</i>
I. Full Name, Mailing Address and ZIP Code Abraham Senate 2000 425 Second Street, NE Washington, DC 20002	S-MI Disbursement for: <input checked="" type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify)	9/19/00 <i>DATE - 8/5/00</i>	\$1,000.00 <i>SDC</i>

10,000.00

SUBTOTAL of Disbursements This Page (optional)

TOTAL This Period (last page this line number only)

**SCHEDULE B**

**ITEMIZED DISBURSEMENTS**

Use separate schedule(s)  
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Detailed Summary Page

PAGE 2 OF 3  
FOR LINE NUMBER  
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**NAME OF COMMITTEE (in Full)**

National Association of Small Business Investment Companies Political Action Committee

<p>A. Full Name, Mailing Address and ZIP Code Sununu for Congress P.O. Box 500 Rye, NH 03870</p>	<p>Purpose of Disbursement: <b>PRIMARY</b> H-NH-1 ELECTION DATE - 9/12/00 Disbursement for: <input checked="" type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify)</p>	<p>Date (month, day, year) 9/19/00</p>	<p>Amount of Each Disbursement This Period \$500.00 SDR</p>
<p>B. Full Name, Mailing Address and ZIP Code Friends of Carolyn McCarthy 38 Ivy Street, SE Washington, DC 20003</p>	<p>Purpose of Disbursement: <b>PRIMARY</b> H-NY-4 ELECTION DATE - 9/12/00 Disbursement for: <input checked="" type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify)</p>	<p>Date (month, day, year) 9/19/00</p>	<p>Amount of Each Disbursement This Period \$500.00 SDR</p>
<p>C. Full Name, Mailing Address and ZIP Code Combest Congressional Committee 383 S. Pickett Street Alexandria, VA 22304</p>	<p>Purpose of Disbursement: <b>PRIMARY</b> H-TX-19 ELECTION DATE - 3/14/00 Disbursement for: <input checked="" type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify)</p>	<p>Date (month, day, year) 9/19/00</p>	<p>Amount of Each Disbursement This Period \$1,000.00</p>
<p>D. Full Name, Mailing Address and ZIP Code Friends of Joe Pitts P.O. Box 16021 Alexandria, VA 22302</p>	<p>Purpose of Disbursement: <b>PRIMARY</b> H-PA-16 ELECTION DATE - 4/1/01 Disbursement for: <input checked="" type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify)</p>	<p>Date (month, day, year) 9/19/00</p>	<p>Amount of Each Disbursement This Period \$500.00 SDR</p>
<p>E. Full Name, Mailing Address and ZIP Code Dick Arney Campaign Committee 4451 Brookfield Corporate Drive Chantilly, VA 20151</p>	<p>Purpose of Disbursement: <b>PRIMARY</b> H-TX-26 ELECTION DATE - 3/14/00 Disbursement for: <input checked="" type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify)</p>	<p>Date (month, day, year) 9/19/00</p>	<p>Amount of Each Disbursement This Period \$500.00 SDR</p>
<p>F. Full Name, Mailing Address and ZIP Code Tubbs Jones for Congress 421 New Jersey Ave. SE Washington, DC 20003</p>	<p>Purpose of Disbursement: <b>PRIMARY</b> R-OH-11 ELECTION DATE - 3/1/00 Disbursement for: <input checked="" type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify)</p>	<p>Date (month, day, year) 9/25/00</p>	<p>Amount of Each Disbursement This Period \$500.00 SDR</p>
<p>G. Full Name, Mailing Address and ZIP Code Serrano for Congress 421 New Jersey Ave. SE Washington, DC 20003</p>	<p>Purpose of Disbursement: <b>PRIMARY</b> H-NY-16 ELECTION DATE - 9/13/00 Disbursement for: <input checked="" type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify)</p>	<p>Date (month, day, year) 9/25/00</p>	<p>Amount of Each Disbursement This Period \$500.00 SDR</p>
<p>H. Full Name, Mailing Address and ZIP Code Friends of John LaFalce 38 Ivy Street, SE Washington, DC 20003</p>	<p>Purpose of Disbursement: <b>PRIMARY</b> H-NY-29 ELECTION DATE - 9/12/00 Disbursement for: <input checked="" type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify)</p>	<p>Date (month, day, year) 9/25/00</p>	<p>Amount of Each Disbursement This Period \$1,000.00 SDR</p>
<p>I. Full Name, Mailing Address and ZIP Code Hal Rogers for Congress 108 E. Bellefonte Ave. Alexandria, VA 22301</p>	<p>Purpose of Disbursement: <b>PRIMARY</b> H-KY-5 ELECTION DATE - 5/24/00 Disbursement for: <input checked="" type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify)</p>	<p>Date (month, day, year) 9/25/00</p>	<p>Amount of Each Disbursement This Period \$1,000.00 SDR</p>

SUBTOTAL of Disbursements This Page (optional)

6,000.00

TOTAL This Period (last page this line number only)

**SCHEDULE B**

**ITEMIZED DISBURSEMENTS**

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FOR LINE NUMBER 31

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**NAME OF COMMITTEE (in Full)**

National Association of Small Business Investment Companies Political Action Committee

<b>A. Full Name, Mailing Address and ZIP Code</b> Sue Kelly for Congress P.O. Box 16021 Alexandria, VA 22302	<b>Purpose of Disbursement</b> H-NY-19 <i>Primary Election DATE 9/12/00</i> <b>Disbursement for:</b> <input checked="" type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify)	<b>Date (month, day, year)</b> 9/25/00	<b>Amount of Each Disbursement This Period</b> \$500.00
<b>B. Full Name, Mailing Address and ZIP Code</b> Ensign for Senate P.O. Box 26568 Las Vegas, NV 89126	<b>Purpose of Disbursement</b> S-NV <b>Disbursement for:</b> <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify)	<b>Date (month, day, year)</b> 9/25/00	<b>Amount of Each Disbursement This Period</b> \$1,000.00
<b>C. Full Name, Mailing Address and ZIP Code</b>	<b>Purpose of Disbursement</b> <b>Disbursement for:</b> <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify)	<b>Date (month, day, year)</b>	<b>Amount of Each Disbursement This Period</b>
<b>D. Full Name, Mailing Address and ZIP Code</b>	<b>Purpose of Disbursement</b> <b>Disbursement for:</b> <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify)	<b>Date (month, day, year)</b>	<b>Amount of Each Disbursement This Period</b>
<b>E. Full Name, Mailing Address and ZIP Code</b>	<b>Purpose of Disbursement</b> <b>Disbursement for:</b> <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify)	<b>Date (month, day, year)</b>	<b>Amount of Each Disbursement This Period</b>
<b>F. Full Name, Mailing Address and ZIP Code</b>	<b>Purpose of Disbursement</b> <b>Disbursement for:</b> <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify)	<b>Date (month, day, year)</b>	<b>Amount of Each Disbursement This Period</b>
<b>G. Full Name, Mailing Address and ZIP Code</b>	<b>Purpose of Disbursement</b> <b>Disbursement for:</b> <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify)	<b>Date (month, day, year)</b>	<b>Amount of Each Disbursement This Period</b>
<b>H. Full Name, Mailing Address and ZIP Code</b>	<b>Purpose of Disbursement</b> <b>Disbursement for:</b> <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify)	<b>Date (month, day, year)</b>	<b>Amount of Each Disbursement This Period</b>
<b>I. Full Name, Mailing Address and ZIP Code</b>	<b>Purpose of Disbursement</b> <b>Disbursement for:</b> <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify)	<b>Date (month, day, year)</b>	<b>Amount of Each Disbursement This Period</b>

**SUBTOTAL of Disbursements This Page (optional)**

\$1,500.00

**TOTAL This Period (last page this line number only)**

\$17,500.00

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